

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
**13768.406**

In Re Application Of: **Brian Keith Pepin et al.**

Serial No.  
**Unassigned**

Filing Date  
**06/19/2003**

Examiner  
**Unassigned**

Group Art Unit  
**Unassigned**

Title: **MODULAR OBJECT SERIALIZATION ARCHITECTURE**

Address to:

**Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450**

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

**OR**

☐ the fee set forth in 37 CFR 1.17(p).

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**MODULAR OBJECT SERIALIZATION ARCHITECTURE**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. **23-3178**  
as described below.
- ☐ Charge the amount of \_\_\_\_\_
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.

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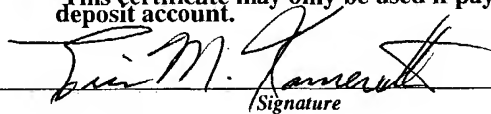
**Certificate of Mailing by First Class Mail**

I certify that this document and fee is being deposited on \_\_\_\_\_ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Signature of Person Mailing Correspondence

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Typed or Printed Name of Person Mailing Certificate

**\*This certificate may only be used if paying by deposit account.**

  
Signature

**ERIC M. KAMERATH**

Registration No. 46,081

Dated: **June 19, 2003**



**022913**

PATENT TRADEMARK OFFICE

CC:

EXPRESS MAIL NO. EV 319 223 997 US

PATENT APPLICATION

Docket No: 13768.408

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of		)	
	Brian Keith Pepin et al.	)	
Serial No.:	Unassigned	)	Art Unit
		)	Unassigned
Confirmation No.:	Unassigned	)	
Filed:	June 19, 2003	)	
For:	MODULAR OBJECT SERIALIZATION ARCHITECTURE	)	
Examiner:	Unassigned	)	

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

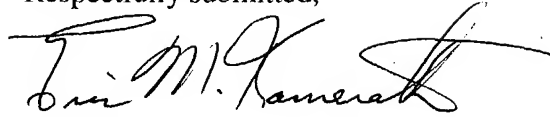
In accordance with 37 C.F.R. § 1.98(c), all English translations within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) of each non-English reference, if any, are also enclosed.

Since all listed references are either in the English language or are accompanied by a translation into English, no concise explanation of relevance is required under 37 C.F.R. § 1.98(a)(3).

This Information Disclosure Statement is filed concurrently with the application, therefore no fee is due. Please credit any over payment or charge any additional fees to Deposit Account No. 23-3178 of the undersigned.

DATED June 19, 2003.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Eric M. Kamerath", with a stylized flourish at the end.

Eric M. Kamerath  
Attorney for Applicant  
Registration No. 46,081



**022913**

PATENT TRADEMARK OFFICE

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<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>	Docket Number (Optional) <b>13768.406</b>	Application Number <b>Unassigned</b>
	Applicant(s) <b>Brian Keith Pepin et al.</b>	
	Filing Date <b>06/19/2003</b>	Group Art Unit <b>Unassigned</b>

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		5,675,801	10/07/1997	Lindsey	395	702	09/30/1994
		5,946,493	08/31/1999	Hanson	395	709	03/28/1997
		6,059,838	05/09/2000	Fraley et al.	717	1	01/21/1999
		6,263,492	07/17/2001	Fraley et al.	717	5	06/06/1997
		6,292,938	09/18/2001	Sarkar et al.	717	6	12/02/1998
		6,501,852	12/31/2002	Clark et al.	382	166	03/10/1999

**FOREIGN PATENT DOCUMENTS**

REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO

**OTHER DOCUMENTS** *(Including Author, Title, Date, Pertinent Pages, Etc.)*

		SALO, Timo; HILL, Justin; RICH, Scott; BRIDGHAM, Chuck; and BERG, Daniel; "OBJECT PERSISTENCE BEYOND SERIALIZATION,"; <i>Dr. Dobb's Journal</i> ; May 1999; Vol. 24, No. 5; p. 19, 22, 24-7, 30-3
		DARBY, Chad; "OBJECT SERIALIZATION IN JAVA 1.1: MAKING OBJECTS PERSISTENT,"; <i>WEB Techniques</i> ; September 1997; Vol. 2, No. 9 available at <a href="http://www.webtechniques.com/archives/1997/09/darby">www.webtechniques.com/ archives/1997/09/darby</a>

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>		Docket Number (Optional) <b>13768.406</b>	Application Number <b>Unassigned</b>
		Applicant(s) <b>Brian Keith Pepin et al.</b>	
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*EXAMINER INITIAL	OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>		
	LORENZ, David H. and PETKOVIC, Predrag; "DESIGN-TIME ASSEMBLY OF RUNTIME CONTAINMENT COMPONENTS," Proceedings of the 34th International Conference on Technology of Object-Oriented Languages and Systems - TOOLS 34; 30 July - 4 August 2000; p. 195-204		
	KIENZLE, J. and ROMANOVSKY, A.; "FRAMEWORK BASED ON DESIGN PATTERNS FOR PROVIDING PERSISTENCE IN OBJECT-ORIENTED PROGRAMMING LANGUAGES,"; <i>IEEE Proceedings-Software</i> ; June 2002; Vol. 149, No. 3; p. 77-85		
	CARPENTER, Bryan; FOX, Geoffrey; SUNG HOON KO; and SANG LIM; "OBJECT SERIALIZATION FOR MARSHALING DATA IN A JAVA INTERFACE TO MPI,"; <i>Concurrency: Practice and Experience</i> ; Vol. 12, No. 7; p. 539-53		
	SPREITZER, Mike and BEGEL, Andrew; "MORE FLEXIBLE DATA TYPES,"; Proceedings of the IEEE 8th International Workshops on Enabling Technologies: Infrastructure for Collaborative Enterprises (WET ICE '99); 16-18 June 1999; p. 319-24		
	OPYRCHAL, L. and PRAKASH, A.; "EFFICIENT OBJECT SERIALIZATION IN JAVA,"; Proceedings of the 19th IEEE International Conference on Distributed Computing Systems. Workshops on Electronic Commerce and Web-based Applications; 31 May - 4 June 1999; p. 96-101		
	PHILIPPSEN, Michael and HAUMACHER, Bernhard; "MORE EFFICIENT OBJECT SERIALIZATION,"; Parallel and Distributed Processing, 11th IPPS/SPDP'99 Workshops Held in Conjunction with the 13th International Parallel Processing Symposium and 10th Symposium on Parallel and Distributed Processing; 12-16 April 1999; p. 718-32		
	BEVERIDGE, Jim; "INSIDE MFC SERIALIZATION,"; <i>Dr. Dobb's Journal</i> ; October 1995; Vol. 20, No. 10; p. 62, 64, 66-7, 122-3		
	PRINTEZIS, Tony; "ORTHOGONAL PERSISTENCE: THE FUTURE FOR STORING OBJECTS?"; PAJava99 Proceedings of the First International Conference on the Practical Application of Java; 21-23 April 1999; p. 5-17		
EXAMINER		DATE CONSIDERED	
<p>*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>			